



Illinois State Board of Education

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Race to the Top

Illinois Sub-recipient Monitoring Plan

August 20, 2012

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Section 1. Overview

This document contains the Illinois State Board of Education's written plan for how it will monitor Participating LEAs' (sub-recipients) use of the Race to the Top (RttT) funds to ensure that they comply with RttT grant requirements and any related applicable State and federal laws and regulations. RttT funds were awarded to assist Participating LEAs (PLs) to meet seventeen RttT Expectations. IL will distribute a minimum of 50% of our total grant to participating LEAs, if they agree to meet the RttT expectations and assurances. (See Appendix A for the list of Expectations.)

Section 2. Sub-recipient Program Monitoring

The RttT Office is responsible for Program Monitoring. The goal of RttT Sub-Recipient Program Monitoring is to ensure that sub-recipients' use of RttT funds to implement aspects of their RttT SOW complies with the RttT grant requirements and any related applicable State and federal laws and regulations. Though Program Monitoring is separate and distinct from other support and technical assistance (e.g., support from Statewide System of Support coaches), the RttT Office will work to coordinate monitoring and support activities since they share the goal of supporting high-quality implementation and the achievement of local and State outcomes. (For a visual of our overall monitoring process, please see Appendix K.)

The ISBE approach to RttT Sub-Recipient Program Monitoring is designed to minimize the administrative burden for LEAs (and for the RttT Office), while accomplishing each of the following:

- Supporting coherent, thoughtful reform and helping to remove implementation barriers
- Supporting achievement of RttT State and local targeted outcomes
- Focusing on continuous improvement and mutual problem solving and accountability
- Addressing both federal and State-specific requirements and processes

2.1 Assurances and Detailed Scope of Work

As a condition of participation, districts committed to a comprehensive set of assurances (Appendix B.) As part of the assurances, districts committed to working on and implementing the Participating LEA Expectations as set forth in the RttT Phase 3 application's Participating LEA Expectations and State Supports Chart (Appendix A) in accordance with the district ISBE-approved Scope of Work (SOW). Using the Rising Star District Continuous Improvement Process online system, Participating LEAs completed detailed SOWs by assessing their status, prioritizing the work, and planning to complete tasks and activities for the 17 Race to the Top Expectations.

Participating LEAs submitted their SOWs on March 30, 2012. Immediately following the March 30th deadline, the RttT Office either approved districts to continue as Participating LEAs or approved them with conditions. If an LEA was approved with conditions, they were required to make improvements necessary to continue as a Participating LEA. Once a revised SOW was submitted, it was reviewed and approved or final changes were requested to remove the conditions.

Since the initial approval process, the RttT Office has provided additional SOW feedback and guidance to LEAs. The LEA budget application was coupled with the additional SOW feedback and guidance so

districts developed FY13 budgets that reflected the most up-to-date information and the best thinking about how to achieve the objectives for FY13. For FYs 14, 15, and 16, PLs will submit their SOWs with their annual progress reports, and the review and final approval of these will be connected to the on-site visit/desk review.

2.1.1 Amendments

LEAs are required to submit an amendment in writing if there is a significant change in program scope (e.g., changing the approach to meeting Expectations) that includes a rationale for the change. The RttT Office will review and approve amendments using the Rising Star system to ensure that the district will continue to be on track to meet the RttT Expectations. If the program change triggers a budget change as well, both the budget and program change will be considered together. (Section 3 of this document discusses how amendments can be made to budgets.)

2.2 Progress Reports and Revised SOWs

PLs will complete quarterly progress reports, one of which will be more in-depth reporting of progress over the course of the fiscal year. Progress reports submitted by PLs will be a self-assessment of their key activities, successes, challenges, progress towards RttT Expectations, and progress towards performance targets and benchmarks. See below for when reports, SOWs, and budgets will be due and when quarterly and annual monitoring will take place.

Calendar of Monitoring Activity

Month	Activity
January	Quarterly progress report due
April	<ul style="list-style-type: none"> Quarterly progress report due Sow and budget process announced for following fiscal year
June	<ul style="list-style-type: none"> SOWs due for following FY Budget due for following FY Annual progress report due
June – July	<ul style="list-style-type: none"> Conditional approval of SOW Budgets reviewed and approved
July – October	<ul style="list-style-type: none"> Desk reviews On-site reviews
October	<ul style="list-style-type: none"> Quarterly progress report due

2.2.1 Quarterly Snapshot Progress Reports

PLs will complete brief quarterly snapshot progress reports (except during quarter of the annual report) that will be an assessment of progress, successes, challenges, needs, and whether their projects are “on track” using the USED “stoplight” system (red, orange, yellow, green). The quarterly snapshot progress reports will be used to track progress and will be used primarily to identify areas where technical

assistance may be needed. The RttT Office will review the reports and will follow-up with PLs who have demonstrated potential risk, are “off-track”, and/or through a sampling system.

Additionally, PLs will be required to update their SOWs quarterly (at minimum) in the online system. We will be able to review their progress towards accomplishing planned tasks through the online system. See below for a screen shot from the online system that will allow us to do regular monitoring of PL work.

Key Code	Objectives	Indicator Type	Assigned to	Target date	Tasks	% Tasks Completed	Objective Status
CIH	The district and school(s) have an aligned vision/mission statement that supports a learning environment which is emotionally safe and conducive to learning. (2321) RT3 Expectations: The district implements the State-adopted survey of learning conditions or approved equivalent, subject to availability of RTTT3 or State funding.	RT3	Tim Green	10/01/2012	2	0%	
Tasks							
Task ID	Task Description	Comments		Assigned to	Completed		
1	Mr. Green will be in charge of getting learning surveys out to the different interest groups, receiving them after completion, and working with a team to tally and survey results.			Tim Green			
2	Mr. Green will work with the assigned team to address issues from the learning survey and process that information onto all stakeholders in our community.			Tim Green			

2.2.2 Annual Progress Report

Districts will complete an annual progress report, which will require more detail than the quarterly reports. These progress reports will include a self-assessment of progress on the activities and tasks outlined in the SOW and will include the status of completion of RttT activities, quality of implementation, key next steps to ensure progress, and resources or support needed.

The results of the annual progress report will help to determine the type and amount of additional monitoring and technical assistance required for the following 12 months. In addition, the frequency of progress reports may be increased to quarterly if annual review is not satisfactory. Progress report frequency may be decreased when two consecutive quarterly progress reports are satisfactory.

2.2.3 Annual Performance Report Data

As a part of the annual report, districts will submit data that will allow the State to track LEAs progress and complete the Annual Performance Report for USED. We are currently in progress of adapting the Rising Star online system so that Participating LEAs will be able to submit their reports using this tool. The performance reporting will include measures directly linked to the State performance measures, student outcomes, and other measures and targets determined by the Participating LEA and the RttT Office.

2.3 On-site and Desk Reviews

Desk reviews and on-site visits are designed to be largely parallel processes, with the on-site review requiring more extensive documentation. The documentation required for both reviews will include the following elements: status of completion of RttT activities, quality of implementation, key next steps to

ensure progress, and resources or support needed. Each Participating LEA will have at least one on-site monitoring visit during the grant period. Each Participating LEA will have desk monitoring any year that they do not have on-site monitoring. All Participating LEAs may be selected for additional on-site monitoring based on whether the program is determined to be at risk of not meeting planned activities, RttT Expectations or Performance Targets. Based upon an initial risk assessment, three Participating LEAs have been selected for annual on-site monitoring. The monitoring schedule can be viewed in Attachment C.

2.3.1 On-site Visits

As noted above, on-site visits will be conducted at least once for each PL and/or if a PL is determined to be at risk of not being on-track, either programmatically or fiscally. Serious concerns about the work of any PL can trigger a site visit at any time. During the on-site visit, we will conduct both program and fiscal reviews (See Section 3 for more information on fiscal monitoring).

We will use the annual progress report and the newly updated Scope of Work documents as the basis of our on-site review. During the review, we will both review documents and conduct interviews with PL administrators. We will discuss progress towards plans, successes, challenges, potential obstacles, and needed changes to plans. We will also discuss what technical assistance might be needed by the district.

2.3.2 Desk Reviews

Desk reviews will also be based upon the PL's annual progress report and their updated Scope of Work. We will review documents and ask for additional documentation, if needed. A phone call will be scheduled with each PL receiving a desk-review to discuss the documents and progress.

Additional desk reviews will be conducted on a quarterly basis. When PL's submit their quarterly reports, we will do a sample review of reports based upon risk, a sampling schedule, and for any PLs indicating they are "off-track". Serious concerns about the work of any PL can trigger a site visit at any time.

2.3.3 Feedback

After the desk review or site visit, PLs will be provided with a written report about their activity and any findings. If needed, we will then follow-up with districts needing corrective action.

2.4 Collaboration

During FY13, ISBE staff will explore the possibility of implementing a collaborative peer review as a supplement to ISBE staff monitoring. The collaborative peer review would be developed as part of regional efforts to provide technical assistance and networking. Efforts will be made to incorporate the collaborative peer review process documentation into the Illinois Interactive Report Card.

Section 3. Fiscal Monitoring

IL will distribute a minimum of 50% of our total grant to participating LEAs, if they agree to meet the RttT expectations and assurances. The goal of the RttT Sub-recipient Fiscal Monitoring effort is to ensure

that Participating LEAs' use of RttT funds to implement aspects of their Scopes of Work (SOW) complies with the Race to the Top (RttT) grant requirements, the IL RttT Expectations, and any related applicable State and federal laws and regulations.

Outlined below are some of the key features of our budget, reimbursement, and fiscal monitoring processes. *For more information on any of these topics, please refer to the IL State and Federal Grant Administration Policy Handbook (www.isbe.net/funding/pdf/fiscal_procedure_handbk.pdf).*

Budget and Review Process

Participating LEA (PL) budgets must reflect work outlined in the "Participating RttT Expectations" (Appendix A) and in their approved Scope of Work (SOW.) PLs are allowed to spend no more than 50% of their grant in FY 2013, and they must spend a minimum of 10% of their grant in FY 2014 and FY 2015. Since most Participating LEAs will have completed the majority of work by FY 2015, we have no spending requirements the six months of the grant included in FY 2016. LEAs have been advised to budget as needed for this year.

LEA Budget Requirements for Spending

	Fiscal Year 2013	Fiscal Year 2014	Fiscal Year 2015	Fiscal Year 2016
Minimum	10%	10%	10%	No requirement
Maximum	50%	50%	50%	No requirement

Annually, PLs submit a project-based budget via an Excel sheet to the RttT office at the Illinois State Board of Education (ISBE). These budgets identify spending by the function and object code (Appendix D.)¹ Additionally, PLs submit their aggregated proposed budgets into Illinois' electronic grants management system (eGMS), through a password-protected portal called IWAS. PLs must enter the following information into the eGMS system:

- **Budget Function and Object Codes.** These identify how funds are spent by general coding categories.
- **Budget Detail.** This requires PLs to specify in prose how the funds will be spent in more detail. Please see Appendix F for a screen shot of this component.
- **Spending and Rationale by Objective.** PLs must enter for each Expectations (or cluster of Expectations as appropriate), funding sources that will be used to ensure the Expectation is met (See Appendix D for an example of the objective sheets.)

¹ The function code in eGMS identifies the action or purpose for which a person or thing is used or exists indicated on a project budget. This includes activities or actions which are performed to accomplish the objectives of the project. The object code identifies the service or commodity obtained as a result of a specific purpose indicated on a project budget. (IL Administrative Code, Title 23, Part 100: Requirements for Accounting, Budgeting, Financial Reporting and Auditing.)

- **Assurances.** PLs are required to certify they will follow all applicable federal, State, and programmatic requirements, as outlined in a variety of assurance pages. These assurances include:
 - Certification and Assurances and Standard Terms of the Grant (ISBE 85-1038)
 - Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion (ISBE 85-34)
 - Certificate Regarding Lobbying (if the proposed amount exceeds \$100,000) (ISBE 85-36)
 - Disclosure of Lobbying Activities (ISBE 85-37)
 - General Education Provisions Act (federal programs only)
 - Program-Specific Terms of the Grant (ISBE 20-88P)
 - Assessment Set-Aside Assurance (10% of grant to be spent on the development of local assessment)
 - Federal Funding Accountability and Transparency Act (FFATA) assurances and required information

Review and Approval Process

The eGMS system has built-in checks to ensure PLs complete some of the required budgeting components. For example, PLs cannot submit their budgets without signing off on all required assurances. Then, PL budgets are reviewed by three separate reviewers, who use a checklist to ensure other required components of the budget are included (Appendix G.)

Reviewers 1 & 2. The first two reviewers review the budgets to ensure:

- All components are included and completed accurately
- The information in the budget is allowable and aligned to the LEA SOW
- The information in the eGMS system is aligned to the project-specific PLs SOWs submitted (in Excel) to the RttT office
- Information submitted in the eGMS system is consistent throughout (i.e., the information in the Objectives sections are aligned to that in the Budget Detail section.)
- Activities appear to be budgeted using the correct codes

The first two reviews are conducted by two (separate) members of the RttT project staff. If the budget is approved by Reviewer 1, it is sent on for review by Reviewer 2. If it is disapproved (does not meet the requirements listed above), it is returned to the PL for editing and resubmission.

Reviewer 3. The third reviewer is a member of the Funding and Disbursements division. They review the comments made by Reviewers 1&2. Ultimately, they ensure that the budget has been completed correctly and that all spending has been appropriately coded.

Once the PL's budget has been approved by Reviewer 3, the budget is uploaded into Illinois' Financial Reimbursement Information System (FRIS), and they may begin to spend (at the beginning of the fiscal year.)

Budget Amendments

Amendments to budgets are required when one or more of the following occurs:

- There is a significant change in program scope (e.g., changing the approach to meeting expectations or using funds to meet alternative RttT expectations)
- The grant recipient intends to budget for more available funds (i.e., federal carryover)
- The expected expenditures exceed the ISBE expenditure variance of 20% or \$1,000 per budgeted cell, whichever is greater
- The grant recipient adds a new expenditure item

All amendments are due at ISBE thirty days prior to the project end date. The obligation of funds included on an amendment cannot begin prior to the date of receipt at ISBE, provided the scope or intent of the approved project has not changed. If the scope or intent of a project changes based on an amendment, ISBE programmatic approval should be obtained prior to the obligation of funds based on the amendment.

Monitoring

ISBE has several systems in place to monitor PLs' RttT spending. Some of these systems are automated through our electronic systems, some are already in place through our Funding and Disbursement division, and some will be implemented by the RttT office.

Automated Monitoring

Many features are built into our electronic systems to prevent PLs from spending/accessing funds for things that are not approved. For example:

- Our system prevents PLs from getting reimbursed for more than is budgeted in any particular budget cell or in their total budget
- Our system prevents PLs from moving funds greater than 20% or \$1,000 between budgeted cells without a budget amendment
- They can move funds amongst "open" cells, but they cannot open "new" cells for spending
- They are reimbursed based on expenditure reports. See below for more information about expenditure reports

Expenditure Reports

Expenditure reports are utilized by ISBE primarily as a program accountability and cash management tool. Expenditures must always be reported on a cumulative (i.e., year-to-date) basis from the project begin date through a specific period of time. All grant recipients, regardless of the amount awarded, are required to submit quarterly reports, though expenditure reports can be submitted more often than quarterly. Expenditure reports trigger reimbursements to PLs, and PLs can submit expenditure reports as often as weekly, if needed.

Grant recipients with approved access to IWAS must submit expenditure reports electronically via the Electronic Expenditure Reporting System. Notification of required expenditure reports are sent via a

reminder email from the Division of Funding and Disbursement Services. Any amount reported in an expenditure account (cell) **not budgeted or not within the acceptable expenditure variance, will not be accepted**. Failure to submit an acceptable report will result in the delay of current payments. Expenditures and obligations in excess of the total project budget will not be allowed.

Expenditure Reports – Federal Specific

Effective July 1, 2011, all federal expenditure reports are submitted on a cumulative (i.e., year-to-date), cash basis accounting method (i.e., expenses are recognized when they are paid). Outstanding obligations will not be allowed to be reported until the end of the project. As grant recipients report cumulative cash basis expenditures via the Electronic Expenditure Reporting system, ISBE will reimburse the expenditures accordingly on a weekly basis. Grant recipients that submit expenditures only under this traditional reimbursement method can submit as frequent as weekly, but at a minimum, quarterly.

Due Dates

Expenditure reports are due **20 calendar days** after the expenditure through date. Reports not received by the due date will result in project funds being frozen until an acceptable report is submitted.

Quarter	Project Begin Date Through:	Reporting Due Date
1	September 30	October 20
2	December 31	January 20
3	March 31	April 20
4	June 30	July 20

Project Completion Reports – Federal

As the end of fiscal year, June 30, 2012, approaches, grant recipients awarded funds for budget based federal grants such as Title I or IDEA are advised of year-end expenditure reporting changes. Grant recipients with federal projects ending June 30 will be allowed to enter and report obligations such as a purchase order or payroll expenditures for teachers that are paid over 12 months on the June 30 report. In addition, grant recipients will be allowed to submit expenditure reports after June 30 (e.g. July 31, Aug. 31 and Sept. 30) as payments are made to liquidate the June 30 obligation(s). In general, grant recipients should liquidate all June 30 obligations within 90 days. As has been the practice during this fiscal year, grant recipients will receive federal funds as cumulative (i.e., year-to-date) cash accounting basis expenditure reports are submitted. Optional monthly advances or “commitment amounts” will be allowed but the advance cannot exceed the reported obligation and a subsequent month end expenditure report will be required to reflect that the advance was expended.

Final Expenditure Reports

A final expenditure report is defined as:

- The project end date equals the cumulative expenditure through date, and;
- There are no outstanding obligations reported.

If a completion report is submitted with outstanding obligations, then a final expenditure report that reflects total project expenditures (with all prior obligations liquidated) must be submitted no later than

90 calendar days after the project end date. Failure to submit this final expenditure report in a timely manner will result in project funding being withheld for the current and subsequent year until the report is received.

A revision of a final expenditure report will not be accepted unless extenuating circumstances warrant a revision. A request to revise a final expenditure report must be submitted in writing or via email to the Division of Funding and Disbursement Services staff for approval.

RttT Office Fiscal Monitoring

The RttT Office will monitor PL spending in a variety of ways, including periodic review of expenditure reports, reviewing PL annual self-assessments, and periodic on-site monitoring. We will also engage in more intensive monitoring of districts that seem to be “at-risk”.

Review of Expenditure and Other Electronic Reports

On an annual basis, the RttT Office will review PL expenditure reports and other reports from the FRIS system. We will also review a sample of these reports on a quarterly basis. One particular report that we will review for a sample of districts is the Program Expenditure Summary Report, which compares the budget to current expenditures. (See Appendix H for an example report.)

These will also be compared to Annual Progress Reports, and the next fiscal year’s proposed budget. If we have concerns about a district’s spending, we will review these more often (See Risk-Based Monitoring section.)

Review of Annual Assessments and Reports

Our annual reports will include questions about their spending for the year and how they funded work related to RttT.

On-Site Monitoring

As a part of our periodic on-site monitoring, the RttT monitoring team will review a sample of expenditure documentation for RttT purchases. Documentation that will be reviewed may include receipts, purchase orders, packing slips, etc. We will ask for districts to be prepared to share documentation and will provide a list of expenditures for review on the day of the visit. We will review to ensure expenses are aligned to RttT SOW, are for the current fiscal year, and are allowable under the grant.

We will conduct an on-site monitoring visit at least once during the course of the grant with every PL, and we will conduct on-site visits more often with some of our PLs. (See Appendix C for the On-site Monitoring Schedule.)

Risk-Based Monitoring

Some districts will receive more than one on-site monitoring visit. Additional visits may be triggered by the size of the grant, concerns about expenditure or spending reports, significant budget amendments, or concerns about program activity.

Section 4. Monitoring of State Projects

The RttT Office has developed a project management system designed to monitor and support the each of the State projects. All of the RttT projects have an ISBE RttT Lead who is responsible for reporting the progress of the project(s). The project management system creates a way for the RttT Office to know that status of the State projects on at least a monthly basis. The information available to monitor the State projects comes from three main sources:

1. RttT Leads complete a monthly report that asks about challenges, accomplishments, and whether the work is on track (See Appendix I.)
2. RttT Leads update the scope of work for their project on a monthly basis (See Appendix J.)
3. RttT Leads participate in a monthly phone call to discuss the projects

In addition to these sources of information, RttT Leads are convened as a group on a monthly basis. The main purpose of the meetings is to share important updates and to discuss implementation challenges and to identify opportunities for coordination between the projects. For the first 6 months, RttT Leads met every other week to discuss implementation issues and to problem-solve.

Section 5. Monitoring of State Contractors/Vendors

Efforts to monitor State contractors/vendors coincide with efforts to monitor State projects because fourteen of the sixteen State projects include an agreement with a State contract/vendor. The ISBE RttT Lead for each project is responsible for the day-to-day monitoring of State contractors/vendors. Each agreement includes provisions for contractor monitoring and reporting. In most cases, contractors will be reporting on a monthly or quarterly basis. The RttT Office, via the internal project management system (outlined in Section 3), is able to track the progress the State contractors/vendors to provide support and guidance for to ensure milestones and outcomes are reached in relation to the State scope of work.

Appendices

Appendix A: RttT Expectations²

- 3 CII1: The district implements the State-adopted survey of learning conditions or approved equivalent, subject to availability of RttT or State funding
- 4 CII2 & CII3: The district implements a comprehensive school continuous improvement process (either Rising Star or an approved equivalent)
- 5 IA01, IA02, & IA03: The district uses school and district performance information from resources such as the Illinois Shared Learning Environment (ISLE) and the redesigned State Report Card to support and build partnerships with municipal and civic leaders (IA02: community organizations; IA03: parental engagement)
- 6 IB01: The district establishes professional learning communities to support all aspects of the instructional improvement process
- 7 IA14: The district establishes systems to recruit and support strong instructional leadership at the school-level, and partners with teacher preparation programs to plan and implement pipeline strategies for High Poverty High Minority Schools
- 8 IA06: The district (a) performs requirements gathering, analysis, and systems enhancements needed for integrating local student and educator data with ISLE; and (b) implements a strategy to link student data across local systems to support the creation of integrated learner profiles
- 9 IA10: The district provides sufficient flexibility in the use of time and re-allocates professional development resources necessary for RttT plan implementation
- 10 IC05: The district establishes a cohesive curriculum, aligned to State standards, that addresses and incorporates the following: (a) critical student transition points as applicable (PreK to elementary, middle to high school, and high school to postsecondary), including the use of alignment teams across these transition points; (b) writing throughout the curriculum; (c) CCSS in Math and ELA across the curriculum, including the concept of text complexity for ELA and application for Math; and (d) the CCSS Science framework (when adopted)
- 11 D7: The district establishes (a) a local assessment system that includes through-course, formative, and summative assessments in a coherent framework that supports standards-aligned instruction and, where appropriate, the measurement of student growth, and (b) a standards-based reporting system in Math, ELA, and Science
- 12 D9: For districts serving grades 9-12, the district establishes two or more Programs of Study promoting critical STEM application areas; for other districts, as applicable, the district establishes an individual learning plan program, commencing in 7th grade, that aligns to a Programs of Study model in the predominant feeder schools for high schools implementing STEM Programs of Study
- 13 D11: The district embeds learning maps as a central part of instructional practices at all grade levels (when learning maps are available through ISLE)
- 14 D13: The district's Rtl implementation plan ensures targeted interventions and differentiated supports aligned to the new State Standards (CCSS)

² *The Race to the Top Expectations are aligned to the indicators for the state's chosen continuous improvement model – Rising Star. The letters and numbers (e.g., IB01) preceding each Expectation are codes for the corresponding Rising Star indicators.

- 15 RT3-1: The school district implements PERA's teacher evaluation requirements on a timeline that is at least as aggressive as the following: (1) for Chicago Public Schools, when required by PERA; (2) by September 1, 2014 for Participating LEAs within the lowest performing 20% of districts, as defined by ISBE; or (3) by September 1, 2015 for all other school districts. Participating LEAs must implement PERA with a "no stakes" student growth component by September 1, 2013. The district must also establish a formal peer evaluation system that is used for a significant portion of summative evaluations and can be used as part of evaluations during teacher remediation. The district must use positive performance evaluations as one of the criteria for selecting peer evaluators.
- 16 RT3-2: The district establishes a one-year induction and mentoring program for beginning principals and a two-year induction and mentoring program for beginning teachers, subject to the availability of RttT or State funding. In addition, the district uses positive performance evaluations as one of the criteria for selecting mentors.

Appendix B: Participating LEA Assurances

Race to the Top – Grant Assurances

1. The signing individual has all requisite power and authority to execute the assurances and submit the Participating LEA Scope of Work.
2. The signing individual is familiar with, supportive of, and committed to working on and implementing the Participating LEA Expectations as set forth on the Race to the Top 3, Participating LEA Expectations and State Supports Chart in accordance with the district ISBE-approved Scope of Work.
3. The LEA will comply with all of the terms of the Race to the Top 3 program and the SEA subgrant to the LEA.
4. The baseline information provided as part of the Participating LEA Data Request is accurate and complete.
5. The LEA will participate in all State-led efforts to undertake district networking activities, disseminate implementation models, and evaluate program results relating to implementation of the Participating LEA Expectations, as referenced above, and the State Race to the Top Phase 3 Plan.
6. The LEA will be responsive to State or U.S. Department of Education requests for information including on the status of the Participating LEA Scope of Work, its implementation, outcomes and any problems anticipated or encountered.
7. The LEA will participate in meetings, webinars and telephone conferences with the State to discuss (a) progress of the Participating LEA in implementation of its Scope of Work; (b) potential dissemination of resulting non-proprietary products and lessons learned; (c) plans for the subsequent year of the Race to the Top 3 grant period; and (d) other matters related to the Race to the Top Phase 3 grant and associated plans.
8. The LEA will work with State Race to the Top 3 personnel to determine appropriate timelines for project updates and status reports throughout the grant period.
9. If the Participating LEA has any Tier I or Tier II schools, it will seek to leverage School Improvement Grant funds to support implementation of the Participating LEA Expectations, as referenced above.
10. The LEA will only allocate its Participating LEA RTT3 allocation for expenditures relating to implementation of the Participating LEA Expectations as set forth in its ISBE-approved Scope of Work.
11. The LEA will participate in district network activity across all of the RttT3 Participating LEAs to develop Type II and Type III assessment frameworks (as described in the State RttT3 Application) and items which can be used on a district-wide basis by all teachers in a given grade or non-tested subject area.
12. The LEA will allocate ten percent (10%) of its Participating LEA allocation for developing and implementing Type II or Type III assessment frameworks and items (as described in the State RttT3 Application).
13. The LEA will post to any website specified by the State or the U.S. Department of Education, in a timely manner, all non-proprietary products and lessons learned developed using funds associated with the Race to the Top Program grant.
14. The LEA agrees to serve as a pilot district for PARCC consortium and KIDS assessment.
15. The LEA will fully cooperate in the PERA Research-based Study.

16. The LEA will establish an induction and mentoring program of two years in duration for new teachers and one year for new principals by no later than the 2013-14 school year. The LEA will use positive performance evaluations as part of the basis for selecting mentors. The LEA will participate in State technical assistance and accountability infrastructure for induction and mentoring programs.³
17. The LEA acknowledges and accepts its responsibility to comply with these assurances and carry out the activities in its approved Scope of Work. If ISBE determines that the LEA is not meeting its goals, timelines, budget, or annual targets or is not fulfilling other applicable requirements, ISBE will take appropriate enforcement action, which could include a collaborative process between ISBE and the LEA, or any of the enforcement measures that are detailed in 34 CFR section 80.43, including temporarily withholding funds, disallowing costs, or terminating the LEA status as a Participating LEA.

³ Assurance 16 was amended. The original text was, “The LEA will participate in State technical assistance and accountability infrastructure for induction and mentoring programs.”

Appendix C: Monitoring Schedule

Illinois Race to the Top Participating LEA Program Monitoring Schedule

Cycle 1		Cycle 2		Cycle 3	
On-Site	Desk-Side	On-Site	Desk-Side	On-Site	Desk-Side
A	O	A	D	A	D
B	P	B	E	B	E
C	Q	C	F	C	F
D	R	O	G	Z	G
E	S	P	H	AA	H
F	T	Q	I	BB	I
G	U	R	J	CC	J
H	V	S	K	DD	K
I	W	T	L	EE	L
J	X	U	M	FF	M
K	Y	V	N	GG	N
L	Z	W	Z	HH	O
M	AA	X	AA	II	P
N	BB	Y	BB	JJ	Q
	CC		CC		R
	DD		DD		S
	EE		EE		T
	FF		FF		U
	GG		GG		V
	HH		HH		W
	II		II		X
	JJ		JJ		Y
14	22	14	22	14	22

NOTES:

- Districts are coded for anonymity. We can provide more information if needed.
- Each Participating LEA will have at least one on-site monitoring visit during the next 3 years.
- Each Participating LEA will have desk monitoring any year that they do not have on-site monitoring.
- Three Participating LEAs have been selected for annual on-site monitoring.
- All Participating LEAs may be selected for additional on-site monitoring based on a determination of increased risk – either programmatic or financial.
- Cycle 4 on-site and desk monitoring will be determined on an as needed basis. It will not exceed 3 on-site reviews, unless risk calls for it.

Appendix D: Objectives Sheet (Example)

ISLE Integration and Integrated Learner Profiles		Instructions
<p>LEA Expectations: The district a) performs requirements gathering, analysis, and systems enhancements needed for integrating local student and educator data with ISLE and b) implements a strategy to link student data across local systems to support the creation of integrated learner profiles. (IA06)</p>		
<p>A. Indicate how this objective will be funded.</p> <p> <input type="radio"/> Race to the Top 3 funds only <input checked="" type="radio"/> Race to the Top 3 AND other federal/state/local fund sources <input type="radio"/> Other federal/state/local fund sources only </p>		
<p>B. Explain the rationale for using or not using RTTT3 funds to support this objective. (58 of 1500 maximum characters used)</p> <div> RT3 funds will supplement funds currently used in Title 2. </div>		
<p>C. RTTT Funds Only: Indicate the amount of *Race to the Top only* funds that will be used in 2012-2013 to support this objective.</p>		<div>1000</div>
<p>D. Indicate other funds that will support this objective. Check all that apply.</p> <p> <input type="checkbox"/> Title I funds <input checked="" type="checkbox"/> Title II funds <input type="checkbox"/> Title III funds <input type="checkbox"/> E-rate R or D funds <input type="checkbox"/> General State Aid funds <input type="checkbox"/> State grant funds <input type="checkbox"/> Local funds <input type="checkbox"/> Foundation funds <input type="checkbox"/> Other private funds <input type="checkbox"/> No other funding sources will be used </p>		

Appendix E: Example Excel Budget Template With Priority Indicators

[illegible]

Appendix F: Budget Detail Example

Itemize and explain each expenditure amount that appears on the Budget Summary. Provide a complete breakdown of eligible employee benefits. Federal Funds: Please review the Instructions link for details that apply to your specific grant regarding teacher's retirement. Contact your program consultant with any additional questions you may have regarding TRS contributions. Click on the "Create Additional Entries" button to enter additional information.

[Description of Function Codes and Object Codes](#)

Function Code	Object Code	Expenditure Description and Itemization	RTTT-4901 Funds	Delete Row
2210	100	School improvement teams will work to establish professional learning communities to address all aspects of the instructional improvement process. Teams will be brought together at the district level to communicate their work with one another. Funds will be used for stipends for summer work for this purpose.	4000	<input type="checkbox"/>
2210	100	Teachers and administrators will review and finalize common final exams, as well as common formative assessments. Processes to ensure these assessments are in place will be formalized, through documented evidence, including but not limited to classroom walkthroughs, teacher reports, student grades, etc. Funds will be used for stipends to meet this purpose.	5000	<input type="checkbox"/>
2210	100	Additional alignment to the new common core standards and Next Generation science standards is necessary in order to fully implement the new standards. Teachers will work to align learning targets to the common core. Teachers will receive stipends for work to align learning targets to the common core.	300	<input type="checkbox"/>
2210	100	D219 has removed the lower-track freshman English class for the 2012-13 school year. Funds will be used as stipends for teachers in creating appropriate interventions and supports for students who are at risk of failure.	300	<input type="checkbox"/>
2210	100	Funds will be used as stipends to examine the school day and implement school day changes in order to form professional learning communities.	500	<input type="checkbox"/>
2210	100	Teacher and principal evaluation systems will incorporate both professional practice and student growth and evaluation to improve educator effectiveness. D219 incorporate peer evaluators for first year teachers. Funds will supplement the Peer Assistance Review program in D219 in the form of teacher stipends.	4000	<input type="checkbox"/>
2210	300	Funds will be used to supplement data analysis and local growth data, through the use of a consultant.	1000	<input type="checkbox"/>

Appendix G: Budget Review Checklist (Example of Checklist in Progress)

Race to the Top Review Checklist

1. Applicant Information page - GEPA description is appropriate.

Yes

☐ Check to add comment.

2. FFATA page - Project description is appropriate. If applicable, name and compensation entries are complete and reasonable.

Yes

☐ Check to add comment.

3. Objective pages - Funding choice in A matches rationale in B. Rationale is adequate and complete. Amount in C is reasonable as compared to the budget detail description.

Yes

☐ Check to add comment.

4. Assessment Development page - Amounts in each year appear reasonable. Current year estimate matches description in budget detail.

No

☒ Check to add comment.

Just confirming that the 10% of funds (\$1507 for this year) will be used to DEVELOP assessments.

CC/7/12/Addressed

5. Budget Detail page - All amounts are allowable, reasonable and appropriate based on the approved Scope of Work.

Yes

☒ Check to add comment.

Fiscal reviewer notes that all activities must occur between the project begin date of July 1, 2012 and project end date of June 30, 2103.

6. Budget Detail page - Expenditures in Function 1000 are allowable and sufficient explanation has been included in the budget detail description.

Yes

☐ Check to add comment.

7. Budget Detail page - All amounts are placed in the correct function/object. All activities occur within the project begin/end dates.

Yes

☒ Check to add comment.

Please provide a bit more detail in the budget detail section. For example, one descriptions says, "Funds will assist teachers in creating appropriate interventions and supports for students who are at risk of failure." Can you explain more? For example, are you saying that funds will be used to provide stipends for teachers to.....

Appendix H: Budget and Expenditure Comparison

ILLINOIS STATE BOARD OF EDUCATION
FUNDING AND DISBURSEMENT SERVICES DIVISION
PROGRAM EXPENDITURE STATE WIDE SUMMARY

Program: 2012-4305

Max. Current Expend Thru: 06/30/2012

Line Item	Budget	Expenditure	Balance	Percent
1-3 1000 Instruction / SALARIES	\$442,572.00	\$261,120.00	\$181,452.00	40.99
1-4 1000 Instruction / EMPLOYEE BENEFITS	\$72,676.00	\$47,871.00	\$24,805.00	34.13
1-5 1000 Instruction / PURCHASED SERVICES	\$406,789.00	\$254,795.00	\$153,994.00	37.67
1-6 1000 Instruction / SUPPLIES & MATERIALS	\$203,028.00	\$100,967.00	\$102,061.00	50.26
1-7 1000 Instruction / CAPITAL OUTLAY	\$74,195.00	\$12,265.00	\$61,930.00	83.46
1-9 1000 Instruction / TRANSFERS	\$3,950.00	\$4,120.00	(\$170.00)	-4.30
2-5 2110 Attendance & Social Work Services / PURCHASED SERVICES	\$37,478.00	\$37,478.00	\$0.00	0.00
4-5 2130 Health Services / PURCHASED SERVICES	\$10,000.00	\$0.00	\$10,000.00	100.00
7-3 2210 Improvement of Instruction Services / SALARIES	\$5,000.00	\$125.00	\$4,875.00	97.50
7-4 2210 Improvement of Instruction Services / EMPLOYEE BENEFITS	\$2,300.00	\$68.00	\$2,232.00	97.04
7-5 2210 Improvement of Instruction Services / PURCHASED SERVICES	\$92,200.00	\$51,545.00	\$40,655.00	44.09
9-5 2230 Assessment & Testing / PURCHASED SERVICES	\$9,000.00	\$3,565.00	\$5,435.00	60.38
9-6 2230 Assessment & Testing / SUPPLIES & MATERIALS	\$2,335.00	\$677.00	\$1,658.00	71.00
10-3 2300 General Administration / SALARIES	\$4,616.00	\$1,921.00	\$2,695.00	58.38
10-4 2300 General Administration / EMPLOYEE BENEFITS	\$1,527.00	\$585.00	\$942.00	61.68
10-5 2300 General Administration / PURCHASED SERVICES	\$1,132.00	\$1,526.00	(\$394.00)	-34.80
10-7 2300 General Administration / CAPITAL OUTLAY	\$2,520.00	\$0.00	\$2,520.00	100.00
11-3 2400 School Administration / SALARIES	\$1,206.00	\$202.00	\$1,004.00	83.25
11-4 2400 School Administration / EMPLOYEE BENEFITS	\$135.00	\$0.00	\$135.00	100.00
13-5 2520 Fiscal Services* / PURCHASED SERVICES	\$500.00	\$0.00	\$500.00	100.00
16-5 2550 Pupil Transportation Services / PURCHASED SERVICES	\$1,405.00	\$0.00	\$1,405.00	100.00
20-5 2620 Planning, Research, Dev. & Eval. Services / PURCHASED SERVICES	\$200.00	\$0.00	\$200.00	100.00
25-5 3000 Community Services / PURCHASED SERVICES	\$4,000.00	\$3,565.00	\$435.00	10.87

Appendix I: State Project Monthly Report (Example)

Directions: Please complete by the 20th of each month. Save file in your respective share drive folder as “Group Name_ISBE Monthly Progress Report_Month Year” (example: “STEM Projects_ISBE Monthly Progress Report_July 2012”. See Appendix A for submission schedule.

Part A - Project Management: All project teams must complete this section monthly.

- Project(s):** 6.1 Local Assessment
- Project sub-criteria:** (B)(3) Supporting the transition to enhanced standards and high-quality assessments
- What were your project’s key **accomplishments** and **challenges** this past month?

Accomplishments:

-
-

Challenges:

-
-

- Is your project **on track to meet the goals and timelines** associated with the activities outlined in our approved **scope of work**? If not, please describe what goals and timelines are off-track and what strategies are you employing in order to meet our goals?

-
-
-

- Could we provide **any type of support** that would help you meet your goals?

-
-
-

- Evaluation:** Evaluate your performance, progress, and quality of implementation to date for your project (choose one by clicking the appropriate box).

<input type="checkbox"/>	Red	Substantially off-track and/or has significant quality concerns; urgent and decisive action is required
<input type="checkbox"/>	Orange	Off-track and/or there are quality concerns; many aspects require significant attention

<input type="checkbox"/>	Yellow	Generally on-track and of high or good quality; only a few aspects require additional attention
<input type="checkbox"/>	Green	On-track with high quality
Explain (optional):		

Part B – Performance Measures and Goals: Only complete this section if you have been assigned to do so this month (see Appendix A).

1. What is the extent of your **progress** toward meeting the **goals and performance measures** and **implementing the activities** that are included in our approved **scope of work** for this project?

•

•

•

2. What **methods, tools, and processes** are you using to determine the progress toward the goals and performance measures and the quality of implementation of the activities described for this project?

•

•

•

3. If your project is **not on track** to meet the goals, performance measures, timelines and quality of implementation related to this project as outlined in our approved scope of work, **why not**, and **what strategies are you employing** in order to meet **goals and performance measures**?

•

•

•

4. What are the **obstacles and/or risks** that could impact your ability to meet our **goals and performance measures** related to this project?

•

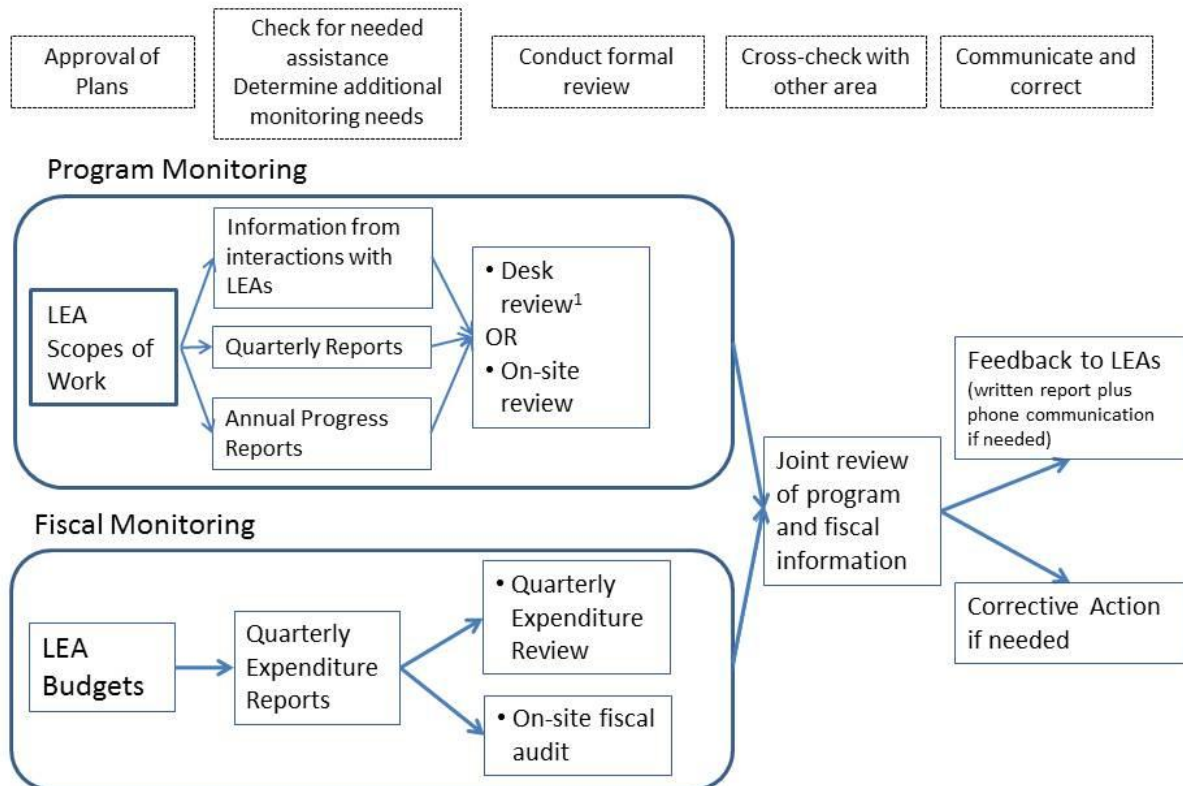
•

•

Appendix A: Submission Schedule

Month	Projects		
Due on the 20th of each month	6.1 Local Assessment 6.2 STEM LE 6.3 Pathways Resource Center 6.4 College and Career Readiness	9.3 PERA Research Based Study 11.1 PERA Prequalification 11.2 Survey of Learning Conditions 11.3 PEAC Supports 12.1 Teacher Prep/HPHM 14.1 Induction and Mentoring	2.1 ISBE Capacity 2.2 Center for School Improvement 2.3 State Report Card Redesign 2.4 LEA Support and Regional Capacity 9.1 ISLE Data Integration 9.2 ICEPR
January	Part A & B	Part A Only	Part A Only
February	Part A Only	Part A & B	Part A Only
March	Part A Only	Part A Only	Part A & B
April	Part A & B	Part A Only	Part A Only
May	Part A Only	Part A & B	Part A Only
June	Part A Only	Part A Only	Part A & B
July	Part A & B	Part A Only	Part A Only
August	Part A Only	Part A & B	Part A Only
September	Part A Only	Part A Only	Part A & B
October	Part A & B	Part A Only	Part A Only
November	Part A Only	Part A & B	Part A Only
December	Part A Only	Part A Only	Part A & B

Appendix K: Overview of IL Participating LEA Monitoring Process



1. Concerns found during a desk review could trigger an on-site review for that FY or the following year, depending upon the gravity of concern.